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ON-SITE ASSISTANCE

A GUIDE FOR

- SURVEYING
- DEVELOPING
- MAINTAINING

COMMUNITY DISASTER READINESS

DEFENSE CIVIL PREPAREDNESS AGENCY

MP-63

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A GUIDE FOR SURVEYING AND DEVELOPING COMMUNITY READINESS

Revised

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DEFENSE CIVIL PREPAREDNESS AGENCY

DEPARTMENT OF DEFENSE

DEFENSE CIVIL PREPAREDNESS AGENCY
WASHINGTON, D.C. 20301

The objective of all our efforts is to improve the ability of local governments to act swiftly and effectively to save lives and property in event of disaster--peacetime or nuclear war. To this end, during the past few years, DCPA has sponsored jointly with the States and at the request of the local governments concerned, several hundred On-Site Assistance projects. Reports indicate that the impact of this help has resulted in better community response to disaster emergencies, including in many cases, the saving of lives.

The lessons learned during these projects and actual emergencies, as well as the important roles of other Federal agencies in On-Site Assistance projects, have been incorporated in this revision of the On- Site Assistance guidance.

I trust that this revised guidance will contribute directly to the vital work of improving the emergency preparedness of the States and localities.

John E. Davis
Director

PREFACE

This revised guidance is issued for all involved in DCPA-sponsored On-Site Assistance (OSA), and provides instructions concerning procedures to be followed in conducting OSA projects for local jurisdictions. It reflects experience since the original publication in May 1972 and contains the substance of subsequent guidance issued by various means. The importance of the use of DCPA Standards for Local Civil Preparedness in OSA is also emphasized. The appended material (in a separate document, MP-63-1) furnishes examples of OSA documents and procedures, such as preliminary hazard analysis format; detailed survey questions; and sample action plans and checklists to aid in the OSA process.

The first task in OSA is to ascertain: "What is the real status of local emergency operational readiness?" This question can be answered by measuring the "success" communities have had in responding to actual disasters, or by investigating the situation by surveying and evaluating local emergency operational readiness on an individual on-site basis.

Once it is fully understood what actual capabilities currently exist, then measures can be gaken either to develop operational capabilities where deficiencies exist or to maintain existing capabilities and proficiencies.

This revision supersedes MP-63, MP-63-1, and MP-63-2, all dated May 1972.

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CHAPTER ONE

INTRODUCTION

Purpose of this Guide

This guide is intended to provide an explanation of the goals and objectives of the On-Site Assistance (OSA) effort and to present suggested and proven methods and techniques for achieving these goals and objectives. The following chapters are directed toward developing a sound understanding of the OSA concept and attendant community readiness survey methods for determining the current status of operational readiness for a local community. The importance of each step in the process is explained from selection of communities, scheduling OSA activities, through the actual conduct of followup assistance. The types of followup assistance likely to be needed are described and the determination of local exercise requirements is discussed.

Possibly one of the most important elements necessary to the success of the OSA effort is the need for adopting the proper attitude toward the task. Although OSA is essentially complementary to the various DCPA local readiness support programs, there are also significant differences. An initial and understandable reaction to OSA by some Federal and State civil preparedness professionals was, "I've been doing these things all along; there's nothing new here,"; or "I don't need someone to tell me how to do my job!" However, most of these civil preparedness personnel later indicated, after having participated, that OSA involves a considerably different approach to operational readiness. Also, now that Standards for local civil preparedness have been established, the local official has at his disposal a tool to measure the status of readiness of his jurisdiction. In essence, the Standards set operational readiness goals and provide a means to assess readiness status. On-Site Assistance develops a program to attain required emergency preparedness objectives identified.

The goal of OSA is to help local communities develop and maintain maximum capabilities in order to actually conduct coordinated life-saving operations in extraordinary emergencies. The DCPA Standards for Local Civil Preparedness describes readiness goals for local government. This means the development and maintenance of an ability to implement emergency plans, not simply the preparation of a written operations plan. However, written emergency plans are desirable when they reflect a process of planning by local officials responsible for conducting operations in an emergency.

On-Site Assistance is many things in addition to planning; it is providing help in determining information requirements, display requirements, and message formats. It is also guiding the development of

operating procedures and helping to identify communications requirements. Implementing an effective local training and exercising program is yet another facet of the total operational readiness assistance effort.

While the goal of OSA can be expressed in a single sentence, helping a community achieve emergency operational readiness can be a complex process involving considerable effort and requiring that many determinations be made along the way. The following questions must be answered for each community if operational readiness assistance is to be applied in the most effective manner.

1. What is the status of civil perparedness in the local community?

2. What is the existing level of emergency operational readiness in the local community?

3. How can the level of emergency operational readiness be increased?

4. What realistically can be done to make civil preparedness a vital entity within the community and to increase the community's ability to respond to an emergency?

5. What course of action and program of assistance will be most effective within the community?

Need for On-Site Assistance

While there is currently a wide range of actual operational capabilities among communities, few have achieved full readiness. A frequent major weakness concerns emergency planning. In many communities emergency plans are based upon an assumed capability, rather than on a real or existing capability. While many documented plans "look good on paper," it is the actual existing resources and capabilities which must be relied upon to save lives and protect property. Therefore, it is essential that the emergency plan accurately reflect existing resources and operational capabilities. It is also important to ensure that provisions have been made for making the best possible use of existing resources and capabilities, and where needed, to expand and improve them.

Also, many written plans reflect more coordinated planning than has actually occurred within the community. Frequently the preparation of emergency plans did not include participation by representatives

of appropriate emergency services. During a study of local community emergency planning,[1] it was discovered that often the local civil preparedness director was, for all practical purposes, the sole author of the plan. For a plan to be workable, it is essential that the users understand what is required of them. This is accomplished best by their actual participation in the planning effort.

In many cases local emergency operations plans have been produced to satisfy Federal and State requirements for participation in DCPA programs. A great many of these "compliance plans" represent little or no real planning activity. Many are the result of adopting (mostly filling in blanks) model local plans produced by the States.

Participation by other local government departments in emergency planning has been greatest among municipal public safety departments and least among health and welfare agencies.

The impact of planning-type guidance materials (e.g., FCDG) has been quite low. This supports the need for professional assistance at the locality to ensure that guidance is adapted to individual local needs.

Despite these facts, it is recognized that the dedicated local civil preparedness official faces formidable obstacles. He must be fully prepared to cope with peacetime disaster and continue to maximize nuclear war preparedness.

The Scope of On-Site Assistance

Civil preparedness should be viewed in its entirety. It is made up of many parts--some of which are tangible; e.g., rescue vehicles and EOC's. Others, such as planning, attitudes, and motivation, are more abstract and complex. But they all contribute to an effective local civil preparedness capability.

There are many elements of emergency operational readiness, both tangible and intangible, which are not always adequately provided for in the local community emergency plans. These elements include such things as local governmental support, inter-organizational relationships, the assignment of emergency responsibilities (primary and support), and the existence of detailed SOP's. On-Site Assistance is an appropriate method for determining whether the necessary operational readiness elements have been planned for and developed.

1/ "Final Report: Local Planning Project", April 30, 1970, System Development Corporation.

While DCPA's primary mission is preparation for coping with nuclear attack, assistance also can be provided to State and local governments in preparing for peacetime emergencies. It should also be kept in mind that operational readiness involves people-oriented programs, as well as the tangible aspects; and thus, requires a shift in approach and attitude as compared to the primarily hardware-oriented programs of the 1960's. In attempting to provide operational readiness assistance to a community, there are two basic questions: (1) Is the community prepared to make maximum use of existing resources and capabilities? and (2) If the community's emergency plans were to be implemented and its resources activated during an emergency, would they be adequate?

Probably the most important attributes those involved in OSA can have are: (1) A sincere desire to assist communities to improve their operational readiness; and (2) sufficient enthusiasm to believe that the job can be done. Naturally, professional skills are necessary, but it is an enthusiastic attitude which helps ensure success; and this enthusiasm is best reflected by a high degree of perseverance and personal flexibility.

Again, it should be emphasized that the entire OSA process is oriented to the DCPA Standards for Local Civil Preparedness. These provide precise goals or criteria for local disaster readiness.

Definitions

In connection with On-Site Assistance, there is need for a common understanding of terms and guidance on uniform approaches and procedures to facilitate the conduct of this activity. Therefore, the following definitions are provided:

On-Site Assistance -- A major effort to assist local governments in improving their emergency operational capability to cope with natural disasters and other peacetime emergencies, in addition to the effects of nuclear attack. It involves direct on-site (at locality) Federal, State, and local effort; and consists of a number of specific steps, such as assessing existing capabilities, surveying local needs, and developing a program to meet requirements identified. The objective is to give concrete and, where possible, timely assistance, in addition to comprehensive long-range help, taking maximum advantage of existing Federal, State, and local resources.

Local Emergency Operational Capability -- The ability or level of readiness of a local government to conduct coordinated operations to minimize the effects of both peacetime and war-cause disasters or emergencies. Such operational capability consists in general of two broad categories, tangible and intangible, which can be further

broken down into specific capabilities. In most functional areas, operational capability includes both essential hardware systems and trained personnel.

Tangible Elements of Emergency Operational Capability -- Those elements which can be measured or tallied, including items such as an operational EOC facility; documented emergency plans, including a CSP; shelters; trained radiological monitors and necessary equipment; coverage of outdoor warning devices; and trained fire and police auxiliaries. (These and additional tangibles are listed on the one-page Statistical Summary, DCPA Form 744-L.) Additional items include communications systems not only to local government agencies and other local sites, but also to State CD, and current operational equipment and supply inventory (e.g., location of bulldozers).

Intangible Elements of Emergency Operational Capability -- Those elements of organization, training, experience, and expertise which make up the ability to make effective emergency use of existing tangible assets. Emphasis is on the ability of key local officials to make appropriate decisions in response to a disaster situation and to direct and control coordinated lifesaving operations in emergencies of any type. Included are the organization, training, and exercising needed in areas such as (a) damage assessment capability to determine the effects of peacetime or attack-caused disasters, including what assistance is needed where, and a radiological defense organization adequately staffed, trained, and exercised to identify and analyze radiological hazards resulting from peacetime radiological incidents or enemy attack; (b) operational reporting capability within the disaster area and to the local EOC and the next higher level, including the ability to develop prompt, accurate, and complete information as to the effects of the disaster on the population; and (c) other organization and training needed to conduct effective, coordinated operations in major disasters or emergencies, such as emergency medical care, emergency public information, or the operation of the shelter system.

Evaluating Local Emergency Operational Capability

Estimates or evaluations of local operational capability or readiness take into account both tangible assets and the intangible elements of readiness (ability to make use of existing tangible assets) as outlined above. Estimates of the level of local readiness to conduct coordinated emergency operations can be based on local performance, either in tests and exercises or in operations during an actual disaster. Such estimates require the application of professional judgment.

Standards for Local Civil Preparedness

Standards for Civil Preparedness were developed jointly by local, State, and Federal civil preparedness professionals. They are provided as an aid in assessing local government readiness status and in planning needed improvements. DCPA publication CPG 1-5 contains detailed guidance concerning these Standards, including information on developing the local government "Civil Preparedness Profile". Following is a list showing the subjects of the six Standards, together with examples of items covered under each Standard.

Standard I, Organization and Administration

- Legal basis
- Funding
- Administration

Standard II, Local Civil Preparedness Director/Coordinator

- Director/Coordinator position and responsibilities
- Director/Coordinator status (full-time paid, half-time paid, etc.)
- Total civil preparedness agency staffing
- Director/Coordinator professional training

Standard III, Facilities and Equipment

- Emergency Operating Center facility
- Shelter
- Radiological defense equipment
- Warning system
- Emergency communications system

Standard IV, Training and Manpower

- Local government personnel
- Personnel required to supplement or extend governmental capabilities
- Training for the public

Standard V, Local Government Emergency Plans

- Need for local emergency plans
- Organization and content of plans
- Example plans include:
  - CSP
  - Basic plan
  - Warning

- Communication
- Increased readiness
- Peacetime disaster operation
- Current inventory of operational equipment/resources

Standard VI, Ability To Execute Emergency Plans

- Exercises and tests
- Actual disaster experience

CHAPTER TWO

THE ON-SITE ASSISTANCE PROCESS

The On-Site Assistance (OSA) Process

As a major effort to assist local government in improving their emergency operational capability to cope with emergencies, OSA provides direct Federal and State effort on-site (at the locality), and consists of a number of specific activities or steps, such as assessing existing local capabilities, surveying local needs, and developing a program to meet requirements identified. The objective is to give both concrete and, where possible, immediate assistance (e.g., provide equipment from surplus and excess property), and comprehensive long-range help (e.g., planning, training, and technical assistance). This objective must be clearly understood in order to comprehend the OSA process.

The table below lists eight distinct OSA steps or activities and tells where they are described in this guide.

	Activity	Brief Description Page(s)	Detailed Description Page(s)
1.	Selecting the Locality	9 - 10	15 - 16
2.	Preparing for the Survey	10	17 - 18
3.	Preliminary Visit	10	19
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On-Site Assistance Procedures

On-Site Assistance is carried out in a series of deliberately planned and organized steps or activities which are briefly described below, and later described in more detail in subsequent chapters.

1. Selecting the Locality. Selection follows Federal, State, and local discussions, and considers the local disaster potential,

based upon a hazard analysis, civil preparedness needs, and the local desire for OSA. At this time, objectives of the project for the locality are determined, together with a joint Federal, State, and local agreement establishing a tentative schedule of the activities. Ideally, selection is accomplished several weeks prior to the "survey" activity (particularly for larger localities), to allow for adequate advance preparations both in-house and at the site.

2. Preparing for the Survey. This is "in-house" (within office) activity by Regional and State team members, carried out prior to any activity at the locality itself, so the team members may become completely familiar with the existing tangible and intangible aspects of the local civil defense program. It includes a review of community history and background, as well as such things as a review of the local law or ordinance establishing civil defense, basic plans, and related emergency plans and annexes, and SOP's. It also includes reviewing local program papers, statistical summaries, budget and staffing history, previous disaster occurrences and resulting emergency operational activities, and local government structure. At this time, a tentative list should be developed of individuals or incumbents of certain positions who should be interviewed.

3. Preliminary Visit. A visit to the locality (normally a day or two in length) that should ideally occur about two weeks prior to actual conduct of the "survey" phase (interviews, etc.). The purpose of the preliminary visit is to meet with local government officials to describe the OSA process, determine the interviewees, and describe how the team expects to function.

4. The Survey (has also been called the "assessment phase"). The activity conducted on-site (at the locality) consists of surveying local needs and making an "all-hazard" evaluation, i.e., determining what type of natural or other disaster the locality has experienced or might experience in the future.

The survey is carried out by conducting interviews with selected local government officials and key representatives of the private sector (industry, commercial establishments, voluntary agencies, etc.). The number of individual interviews necessarily depends on several factors, including the size and complexity of the locality (city, county, or joint city/county, etc.), as well as the local power structure, political situation, and the amount of visibility desired. Actually, most of the information needed probably will be obtained through the first dozen to 20 interviews, if the interviewees are carefully selected, with the remaining interviews primarily confirming earlier data and/or meeting the "political" and "visibility" needs of the survey for the particular locality.

Another means of obtaining or supplementing information may be by conducting one or more Emergency Operation Simulations (EOS) to demonstrate what is meant by emergency operations capability. The EOS may, in some cases, be a means to "set the stage" for local interviews, particularly in localities which have not had a viable civil defense program, or have little or no apparent emergency capability. The EOS technique, as well as other tests and exercises, can be expected to be part of followup activity for many localities.

5. Summary and Recommendations. A combined report containing a summary of the state of local readiness, based on the team's analysis of the interview results, together with recommendations for improvements needed. It is prepared by the team and then submitted to the local government.

6. Action Plan (also has been called "Implementation Plan"). The document prepared following local review and concurrence with all or appropriate parts of the Summary and Recommendations. The Action Plan represents a feasible program to eliminate deficiencies, and should identify and schedule specific work needed, and assign the responsibility (Regional, State, or local, or combination thereof). It should be approved and signed by representatives of each level, and represent a commitment on the part of each to do the work indicated. The work outlined, scheduled, and committed should be realistic (States and Regions must carefully review commitments made earlier to other localities and consider their remaining resources available for supporting each new locality involved in OSA).

7. Immediate Followup. Work and activity to carry out the commitments made in the Action Plan. Some of the work can be carried out immediately, while other work may take considerable time.

One of the most important aspects of OSA is early accomplishment of two or three elements of specific tangible Federal assistance to the community, based on the Action Plan. This includes providing equipment, matching funds, or more likely technical assistance; but in any case, it must be done immediately and positively.

8. Long-Term Followup. These are followup activities requiring a long time to accomplish, usually several weeks, months, or more. Such activities may involve local emergency planning; development of an EOC through the entire design, construction, and equipping process, followed by conducting locally tailored simulation exercises (or other tests and exercises). These exercises may be conducted to train local officials in coordinating operations under emergency conditions. They could also serve as a "graduation exercise" or test of the workability of the local emergency operations plan, procedures, and organization.

Some followup activities may never be completed, as exercises should be conducted periodically to maintain proficiency. In some cases, followup activity may require periodic visits to the locality to see that the project is on schedule and give informal assistance, as well as meet more extensive and formal State and Regional commitments.

Following is a step-by-step outline of the elements of the OSA process described above and which will be covered in more detail in subsequent chapters of this guide:

1. Selecting the Locality

   - Priority given to natural disaster-prone localities.
   - Locality must need and want OSA.
   - Coordination must be effected with Federal Agencies such as the Federal Disaster Assistance Administration (FDAA) and the National Weather Service (NWS).

2. Preparing for the Survey

   - Region-State determine OSA objectives.
   - Review of existing local situation, including local plans, history of disaster, administrative records (program paper, statistical summary, etc.).
   - DCPA and other Federal agency (such as FDAA, NWS) team members selected.
   - State team members selected.
   - Preliminary hazard analysis prepared.
   - Total team meeting.

3. Preliminary Visit

   - OSA team arrives on-site.
   - Initial briefing of officials.
   - Tentative interview list and teams determined.
   - Public information program established.
   - Tentative interviews schedule established.

4. The Survey (Interviews)

   - Interview teams organized.
   - Interview schedule established.
   - Federal/State/local participants briefed on final schedule.
   - Interviews conducted.

5. Summary and Recommendations

   - Draft summary and recommendations (S&R) prepared.
   - Draft S&R reviewed with key local officials.

- Final S&R prepared (draft action plan sometimes is prepared at this stage).
- Final S&R signed-off by Region/State/local officials.
- S&R approved by local officials.
- Action plan drafted jointly by local officials and OSA team.
- Actions, schedule of target dates, and responsibilities reviewed by local officials.

6. The Action Plan

- Action plan adopted by local, State, and DCPA officials.

7. Immediate Followup

- Detailed hazard analysis prepared, if necessary.
- Immediate actions taken.

8. Long-Term Followup

- Action plan items accomplished as scheduled.
- Conduct tests and exercises for staff. Operational systems and procedures should be included to evaluate operational capability status and to determine further followup assistance required.

The pay-off in terms of increasing local operational readiness is in timely completion of action plan items, which require aggressive action plan followup (Steps 7,8) and by local, State, and DCPA staffs.

In short, another way of looking at the OSA process is to consider it in terms of three major phases of activity:

I. Determining existing capability (Selection, Preparation, and Survey -- Steps 1-4).

II. Establishing a program to develop or improve local capabilities (Action Plan Development and Adoption -- Steps 5-6).

III. Carrying out the program to develop or improve local capabilities (Followup -- Steps 7-8).

No matter how OSA is viewed, the essential activities described herein are needed in order to reach the objectives. In preparing to save lives in event of disaster, the stakes are too high to allow slipshod work. In other words, OSA must be carried out in a thorough manner in accordance with OSA procedures, and without skimping. However, experience has shown that for smaller communities, some of the idealized OSA procedures described herein may be abbreviated to a degree, but must not be omitted.

Table 1. -- Estimate of Federal and State Effort Needed for Conducting OSA Projects
(Based on effort reported for existing OSA projects)

Population 1/	Activities thru Action Plan Adoption-Steps 1-6 (man-weeks)	Followup Activities (First year) (man-weeks)	Annual Followup Activities (Indefinitely) (man-weeks)
Under 10,000	6 to 10	4 to 8	1 to 3
10,000 to 25,000	10 to 16	8 to 12	2 to 4
25,000 to 100,000	16 to 24	12 to 18	4 to 6
100,000 to 500,000	24 to 36	18 to 27	6 to 9
Over 500,000	36 to 54	27 to 40	9 to 14

1/Joint City-County areas may require the higher man-week figure in most cases. The lower man-week figure appears to be the minimum needed for successful conduct of the OSA project. A large number of jurisdictions involved within the OSA project area (e.g. a county) may require resources and effort more than indicated on this table.

CHAPTER THREE

SELECTING THE LOCALITY

Planning On-Site Assistance Projects

On-Site Assistance involves a substantial commitment of Federal and State staff to (1) properly conduct the community readiness survey, (2) develop an action plan to improve readiness, and (3) provide support and followup to carry out the improvements needed. The effort involved in the followup phase may equal or exceed the project effort up through survey and action plan adoption.

Thus, scheduled OSA projects should not exceed the capability of the Federal and State support available. As more and more OSA projects reach the followup stage, the rate of new project starts will most likely diminish (or stretch out) unless more staff support becomes available. In addition, OSA projects should be scheduled so that the concentration and momentum for each project can be maintained without interruption; e.g., avoid starting or working on other OSA projects by the team members, at least until the action plan is prepared and presented to the local government.

Table 1 indicates the range of effort needed (based upon experience) to conduct OSA successfully in accordance with the guidance provided herein. The amount of effort needed depends on the actual situation--type of locality, existing capability, etc. Thus, the ranges shown in Table 1 provide only one basis for OSA project planning.

In general, about three-fourths of the initial OSA effort (through survey and action plan adoption) is needed for sufficient followup the first year, and about one-fourth on an annual basis for an indefinite period following. Followup support may include work by some of the OSA survey team members, but actually involves other State and Federal specialists; e.g., RADEF and communications specialists and engineers.

On-Site Assistance requires commitment of the most capable staff members available. The teams should be composed of regular professional State and Federal staff, and may include personnel under contract (e.g., CSPOS, CDUEP, CDE) in participating and supporting roles. Leadership and responsibility for the OSA effort should not be delegated, per se, to such contract personnel, but their participation in appropriate portions of the OSA project is encouraged.

Selecting the Locality (Step 1)

Experience shows that as the advantages and benefits of OSA become known, many local governments welcome this help in preparing to cope with disasters. Thus, many local governments take the initiative in requesting OSA through their States to DCPA.

Generally, selection should be based on these primary factors: (1) local needs and desire, (2) potential hazards, (3) population. The DCPA Region, on the advice of the Federal Disaster Assistance Administration (FDAA) and/or the National Weather Service (NWS), may advise natural or other peacetime disaster-prone localities of the need for developing operational capabilities under OSA to meet specific hazards.

Because of limited available Federal/State manpower, it is important that OSA be conducted only in those localities that need and want OSA, and which appear to be sincere in committing effort for developing or improving their capability to cope with disasters. OSA should NOT be conducted in localities just because it appears to be the thing to do.

Another consideration is the population of the locality, since OSA requires major Federal and State manpower commitment. Thus, for the greatest possible return, larger communities should be considered, provided the above criteria concerning need and desire and disaster hazards are met.

In communities involved in Crisis Relocation Planning (CRP), special risk area-reception area requirements will need to be considered.

CHAPTER FOUR

PREPARING FOR THE SURVEY

Advance Preparations

The gathering and review of information should begin well in advance of the first visit to the local community. The objective of this information review is to familiarize members of the OSA team with the overall situation to the extent already known about the community, and to provide a basis for asking relevant questions of the community officials. These preparations also will reflect personal concern and understanding by the OSA team about the local community.

An initial source of information may be the DCPA or State disaster files. These files can provide background data to assist in identifying the types and frequency of peacetime disasters experienced or likely to be experienced by the community. After-action reports may provide an indication of specific areas of emergency operations that require attention. All written plans pertaining to the community should also be reviewed before the initial visit. Some of these may be available at the Regional office; others will have to be obtained at the State civil preparedness agency, or may be available only in the community. Existing basic emergency operating plans, civil disorder contingency plans, community shelter plans, plans for special emergency situations, and long-range community development plans should be included in this review.

Information reported to the States and DCPA, such as local program papers and statistical summaries, should be reviewed as aids to determining the community's present readiness status. The opinion of other knowledgeable Regional and State personnel concerning the operational readiness of the community, its political organization and power structure, and the relative status of the civil preparedness organization within the community should be solicited. Personnel assigned to the Administrative and Fiscal, Training and Education, Technical Services, and Field Operations office should be consulted. Representatives from the Federal Disaster Assistance Administration, National Weather Service, Department of Health, Education, and Welfare, Department of Transportation, American Red Cross, U.S. Army Communications Command, Resident Engineering Support Group, and other Federal and State agencies, etc., also can prove to be excellent sources of information. However, before visiting a community, such information should not be used to prejudge the needs of a community nor the ability of its civil perparedness director.

After completing this preparatory process, OSA team members may believe they can answer the five questions listed in the Introduction to this guide (page 2). Such a belief can be dangerous, because

written plans, status reports, and the personal opinions of others do not always reflect the facts as obtained from face-to-face conversations with the principals of local emergency operations. Nevertheless, this information is important. It can serve as a baseline -- a starting point for the readiness survey. Firsthand knowledge and on-site observations then can verify and augment previously reported data.

A preliminary hazard analysis (threat analysis) also should be prepared for the local community prior to the initial visit. This may be based upon after-action reports, news articles covering actual disasters experienced or threatened, and conversations with persons who are familiar with the community's disaster history. The preliminary analysis need not be highly technical nor sophisticated. However, there are some minimum determinations that should be made. These determinations include:

1. The possible threats that could be posed to the community by direct weapons effects and/or by radioactive fallout.

2. The susceptibility of the community to fire (regardless of the type of disaster).

3. The likelihood of various types of natural disasters affecting the community.

4. The possibility of man-made peacetime disasters affecting the community.

The preliminary hazard analysis should help the community representatives realize the need for developing the emergency operating capabilities and emergency operations plans that would be required to cope with each type of possible disaster. The analysis may be presented in a number of ways. Appendix A contains two examples of a preliminary hazard analysis. The importance of this analysis is that it provides a framework for emergency planning. The format is less important, and may vary to meet Regional, State, and local requirements.

During one of the early visits to the community, the preliminary hazard analysis should be discussed with local officials and modified as required. It should be completed prior to interviewing other local representatives so that it can be used as a point of departure for discussing operational capability in a realistic context. Wherever possible, assistance should be obtained from the National Weather Service (NWS) and related agencies, such as the U.S. Army Corps of Engineers (for flood problems) and the U.S. Geological Survey (for earthquake hazards).

Preliminary Visit

The purpose of the preliminary visit is to confirm whether the conduct of an OSA, and particularly the survey phase, is appropriate at the time, and if so, to obtain local support and cooperation. Arrangements should be made to meet with the civil preparedness director and appropriate members of his staff. These persons should be briefed on the purpose and objectives of the readiness survey; and the assistance needed from them should be described. The tentative list of people to be interviewed should be developed and reviewed with the civil preparedness director (see p. 24). Once this list has been agreed to, briefings and interviews can be scheduled for subsequent visits. A tentative schedule of all project activities should be agreed upon during this visit.

A courtesy call should be paid to the chief executive(s) for the purpose of explaining the project, requesting local government support, and to indicate what assistance and cooperation is needed. During this time, arrangements may also be made to schedule a briefing for those who will be involved in the project. While in the community, the team may also want to obtain additional background information to supplement that obtained earlier through State and Regional sources.

After the preliminary visit and before subsequent activities are initiated, a work plan should be prepared to reflect agreed-upon activities and tentative schedules. The work plan should specify, as a minimum:

- The OSA team members by name and organization.
- The specific objectives of the OSA efforts for the community involved.
- A tentative list of persons to be interviewed, the purpose of the interviews, and the estimated time required for each interview.
- A schedule of all activities, including interviews.
- A tentative date for presentation of the Summary and Recommendations to the community.
- A tentative date for presentation and adoption of the action plan.

CHAPTER FIVE

THE COMMUNITY READINESS SURVEY

Purpose of the Survey

The survey, as used in OSA, is an assessment of the actual condition of the existing local emergency operational readiness capability. This readiness "profile" may be presented in a written narrative. The survey results should reflect the community's readiness in the context of threat assumptions. A thorough understanding of the real situation is desirable before determining the course of action. This is not unlike the doctor who develops a case history of his patient and carefully examines appropriate critical bodily functions before reaching his diagnosis. Only after he has diagnosed the problem does he attempt to prescribe a remedy or course of treatment.

A useful pattern to apply in assessing the readiness of a particular activity or organization is the "four-legged table". (Fig. 1). The legs of this table (Organization, Plans, Facilities and Systems, and Training) correspond to DCPA Standards for Civil Preparedness -- the goals of the OSA process. For example, if the requirement is a solid and level surface (table top), uneven legs, or the lack of a leg or legs, would have obvious results. Lack of a frame (Test and Exercises) also would result in a weak or unusable table.

The most important aspects of the survey are that it is done at the site, and requires direct local participation and involvement. The OSA team should base their recommendations on first-hand information and observations, including information gained in the give-and-take of discussion. The DCPA Standards should serve as a reference point.

It should be emphasized that the objective of the survey is to determine the course of future preparedness actions and the manner in which local, State, and Federal resources can contribute most effectively to this course of action, rather than evaluate past actions or present performance. In other words, what can be done to help this civil preparedness director increase his community's emergency operating capability.

Briefing Local Officials, or "Kick-off" Meeting

It is important that the civil preparedness director and all of the other community officials, including the chief executive(s), understand the purpose and objectives of OSA. Although previous contacts may have been made by telephone, letter, or by the preliminary visit, the real scope and objectives of OSA activities may not be fully understood by the local officials at the onset of the project.

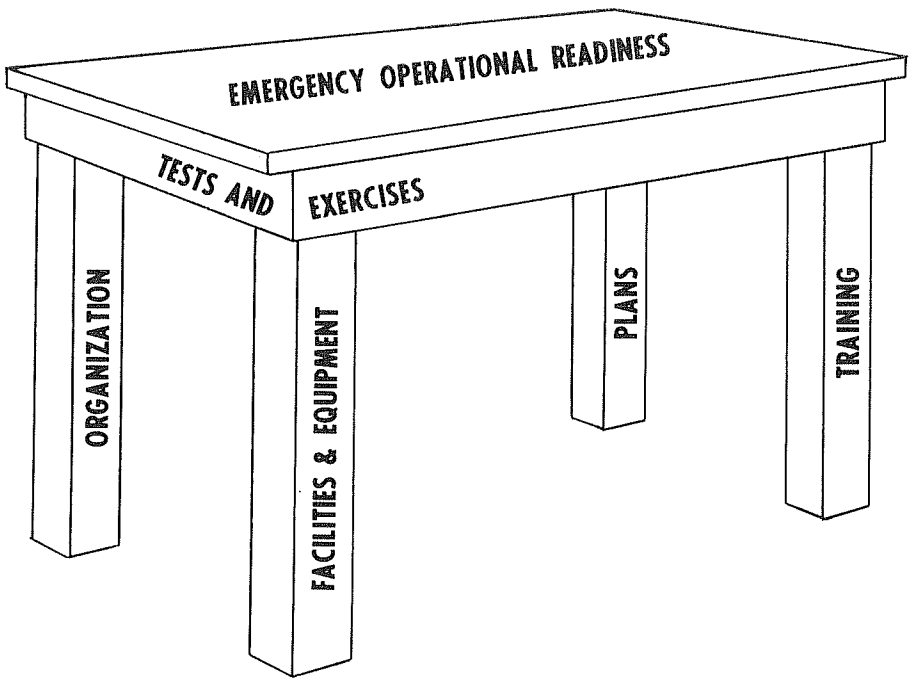

Figure 1. -- The "four-legged table" of operational readiness.

During the preliminary visit to the community, OSA was explained to the chief executive(s) and the civil preparedness director and his staff. Now the department heads and service chiefs should be briefed. This can be accomplished most effectively at a joint meeting, sometimes called the OSA "kick-off", called by the chief executive. Individuals from the private sector who play an active role in preparing for or conducting disaster operations must also be briefed and should be invited to attend the meeting. Each participant should be aware that he or members of his staff will be interviewed, and should understand the types of questions that will be asked. Any thought that they are going to be personally evaluated by a Federal or State civil preparedness representative should be completely dispelled.

A proven way to assure proper orientation at this "kick-off" session is to issue and discuss briefly the DCPA publication CPG 1-4, "Summary for Public Officials (Standards for Civil Preparedness)". For example, show that there are six basic categories of data to be collected, based on the Standards for Local Civil Preparedness, which are:

1. Organization and administration.

2. The local Civil Preparedness Director/Coordinator.

3. Emergency/operating facilities and equipment, emergency operating support systems.

4. Emergency operations personnel and training.

5. Emergency operations planning.

6. The overall status and capability of civil preparedness within the community.

Interviews and Direct Observations

Most of the information needed can be obtained through interviews and direct observation. A combination of these methods can be used in determining the current status of the tangible (hardware) features of local programs and operations. To determine the status of less tangible components (such as operating procedures), the OSA team must rely upon interviews.

Thus, it is necessary to conduct as many interviews as possible in the community with persons who have a responsibility for planning or conducting some aspect of emergency operations. This does not mean that every fireman should be interviewed, but the Chief and probably the Deputy Chief should be interviewed. Obviously, the civil preparedness director and key members of his staff should be interviewed concerning their views on most of the operational readiness topics.

The primary purposes of the interview are to verify information reviewed during the advance preparations, discover data and evidence unobtainable elsewhere, collect detailed information relevant to all areas of current emergency operational readiness; and, most important, to obtain views of the persons interviewed concerning need and status of civil preparedness in their community -- including their recommendations.

The persons who should be interviewed may vary from one community to another, depending upon the governmental structure, the availability of local officials, etc. The OSA team must use its best judgment concerning who should be interviewed in a particular community.

The list below indicates those organizations and individuals who are likely to have emergency responsibilities. It may not be complete and is not in priority order. Ideally, a high-level representative in each of these listed areas should be interviewed.

- Chief municipal executives or county commissioners
- Civil preparedness
- Law enforcement (sheriff and local police)
- Fire department
- Public works or engineering department
- Utility services
- Welfare services
- Health services, including hospitals, nursing homes, and rescue services
- Medical services
- Transportation services
- Key individuals in disaster analysis
- American Red Cross and similar organizations
- Local planning agencies, such as Councils of Government (COG;s), etc.
- Public information services (local news media executives, including CAP-TV, Muzak, etc.)
- Local or nearby military commanders
- National Oceanic and Atmospheric Administration (local NWS representative)
- USDA County Emergency Board
- School superintendent
- Major local business leaders
- Chamber of Commerce
- Industrial facilities
- Airport managers

It is impossible, in most cases, to determine beforehand the length of an interview session. There are too many variables. For example, the length of an interview will depend upon such things as the time available on the part of the person being interviewed, and the relevance of the information he possesses and his willingness to be interviewed.

Most interviews (other than of the civil preparedness director) generally will vary from 20 to 90 minutes, with most lasting nearly an hour. However, it is unlikely that more than four to six interviews can be successfully scheduled and completed during one day. Interviewing local officials demands a great amount of flexibility -- both in the approach to the respondent and in scheduling.

In some cases, the OSA team member may find himself interviewing a person who does not appear to be as knowledgeable in his subject area as was expected, and is not enthusiastic about being interviewed. Such an interview would not be successful, and it is advisable to terminate it as early as possible. In other instances, the reverse may be true; some respondents will be delighted at having an opportunity to discuss everything they can think of that relates to the topic plus many things that are not directly related.

The purpose of this discussion has been to indicate the need for flexibility and judgment in determining when maximum benefits have been achieved from each interview. In short, if a person doesn't want to be interviewed, encourage him to respond but don't force him. And if a person wants to talk interminably about unrelated topics, listen patiently, but politely direct him back to the relevant topics.

The success of the survey approach rests primarily upon the interviewer's ability to collect relevant data from interviews with community officials. Probably the most effective interviewing techniques to use are those with which the interviewer feels most comfortable. For this reason, only interviewing "hints" are provided here, with the understanding that each OSA team member will conduct each interview in his most effective manner.

Interviewing Hints

Ideally, the interview should be conducted as a discussion of civil preparedness and the community's needs. But in order to carry out the interview, topics and questions must be raised by the OSA interview team. A "yes" or "no" answer usually provides the interviewer with little or no insight into the subject area. Therefore, open-ended questions should be asked whenever possible to let the respondent develop his answer. The more he is encouraged to talk, the less likely a superficial answer will be given. For example. "What do you think your role would be during an increased readiness period?" Or, "What do you think the people in this community expect from civil preparedness?" Definitive answers may be difficult to obtain, but even the poorest answer may be revealing and increase the depth of the OSA team's understanding of the community.

Questions should be phrased in a meaningful context; that is, the question should be localized so that it is relevant to the respondent.

For example, "What types of problems would you face if the Cedar River (it runs through the center of town) reached 3 feet above flood_stage?" A question of this type can lead to discussions of evacuation, sheltering, health, and debris clearance problems (to name but a few), and the community's capability to cope with these problems. The discussion can then be directed toward the similarities and differences of problems and capabilities in the event of a nuclear war.

The interviewer should always be willing to pursue a line of questioning that may result from an unrelated question. For example, if the initial topic is the physical readiness of the EOC, the subject of the last exercise may come up, or the respondent may relate some of the problems that were experienced during an actual emergency. Questions about what was learned, what has happened since, internal procedures, displays, etc., become relevant.

What the interviewer gets out of an interview depends, to a great extent, upon himself -- his attitude, personality, interest, and his ability to employ good interviewing techniques. The interviewer's attitude should convey a sincere desire to assist community representatives to improve their level of operational readiness. In some instances, the person being interviewed will prefer to talk about his concerns related to the program, but not necessarily those the interviewer would like to hear about. In most cases, it is advisable to discuss (and mostly listen to) all concerns, in order to let the respondent know that the interviewer is interested. Interest can also be expressed, for example, by raising questions about portions of the written plan previously read by the interviewer.

Direct observations should be used, where possible, to substantiate information obtained during interviews. This is usually a good means of determining the status of tangible (hardware) features of operational readiness.

Each OSA team interviewer should be careful to avoid being seen as a threat by the local officials. If an official believes he or his efforts are being evaluated, he is likely to give the answers he believes should be given, rather than to discuss the situation openly. It is often a good idea to discuss what the community has done in a particular area, rather than what he has accomplished in that area.

In conducting the survey, there is no set sequence that interviews should follow. However, it is advisable that the civil preparedness director and his designated staff members be interviewed first, since they will usually have more questions to respond to than will the other persons being interviewed.

The advantages and disadvantages of using two-man interview teams should be considered. The use of two-man teams will allow one person

to take notes while the other does the interviewing. On the other hand, the use of two-man (or larger) teams decreases the number of interviews that can be conducted simultaneously. The total team size will, no doubt, vary from one project to another, based upon the number of trained personnel, the size of the community and its complexity. The OSA team composition may also vary, and could include State civil preparedness, DCPA Regional staff members, Civil Defense University Extension (CDUE), Community Shelter Planning (CSPO) personnel, other State agency or Federal agency personnel (such as Federal Disaster Assistance Administration, National Weather Service, Health, Education, and Welfare, or Department of Transportation). However, it is recommended that at least one State civil preparedness and one DCPA Regional representative be involved for the duration of the project, with either being the project leader. Eight members is probably the maximum manageable team size for the larger projects, based upon the "law of diminishing returns." Recommended OSA team sizes, based upon community population, are as follows:

Number of OSA Team Personnel	Community Population
2 to 4 (1 or 2 interview teams)	Up to about 25,000
4 to 6 (2 or 3 interview teams)	25,000 to 100,000
6 to 8 (3 or 4 interview teams)	100,000 to 250,000
8 or more (4 or more interview teams)	250,000 and larger

Whether or not it is desirable to have the local civil preparedness director attend the interviews should be considered. Attendance at interviews with other local officials can serve as a valuable learning experience (and sometimes provide initial contacts) for the local civil preparedness director. On the other hand, it could result in the persons being interviewed not responding as openly and extensively as they would if interviewed alone.

The OSA interviewer may also be asked many questions. Thus, the interviewer should have a broad knowledge of civil preparedness. However, he need not be the "complete expert," and should not hesitate to acknowledge that he doesn't know the answers to all the questions that may be posed. He should then attempt to find the answers as soon as possible.

Survey Questions

It is to the interviewer's advantage to develop his own questions. By doing so, he will generally find that he is better able to develop an understanding of the community's overall readiness, rather than if he simply obtains unrelated responses to a series of standard questions. Further, each interviewer has his own unique methods and techniques for conducting interviews. For example, some interviewers will feel it necessary to prepare detailed questions, while others will find they are able to work from broader questions. However, avoid stereotyped questions and interviewing.

It is a good idea for the interviewer to have firmly in mind the objectives of the OSA project as well as specific questions. The concept of the "four-legged table" has proven useful in assuring that the various elements of operational readiness are covered in each interview.

The questions below are not intended to be asked directly, but to serve as a basis for discussion. They are provided as a guide to help the OSA team summarize its findings and assist the community officials in developing a realistic program of action.

About the status of civil preparedness

- What is the relationship of the civil preparedness organization to other local government departments or services?
- What do the local officials expect from their civil preparedness program, and is their support commensurate with these expectations?
- What is the general feeling of the public toward their local civil preparedness organization?
- What factors, favorable and unfavorable, have contributed to the present status of civil preparedness within the community?

About emergency operations planning

- Has the local government planned for emergency operations under all disaster situations likely to threaten its jurisdiction?
- Does the local government Community Shelter Plan (CSP) contain all of the planning provisions necessary for successful activation?
- Has emergency operations planning been based upon acutal, present-day capability and existing resources?

- Does an increased-readiness (IR) plan exist, and is it based upon realistic assumptions?

- Has planning been accomplished to overcome any deficiencies that exist in the community's current emergency operations capability?

- Did the local officials and other key individuals who would be involved in disaster operations participate actively in developing the disaster operations plans?

- Do these officials and others involved understand the contents of the plans and would they follow them in a disaster situation?

- Have the plans proven effective during actual disaster operations or during an exercise designed specifically to test their validity?

About emergency operating facilities and equipment

- Does the local government have a central EOC or decentralized operating facilities from which a coordinated response can be effectively directed in any disaster situation?

- Could these facilities operate effectively as self-contained units for an extended period of time?

- Do these facilities have the necessary emergency communications capabilities?

About emergency operating support systems

- Does the present shelter system (facilities, equipment, stocks, organization, and personnel) represent a realistic lifesaving potential for the total community population? Note that sample checks of shelter supplies are to be taken during all OSA projects. These sample checks are to be based on the instructions contained in FCDG, Part D, Chapter 2, Appendix 9. The results of these checks, including the description of the condition of the shelter supplies inspected and the shelter supply inspection activities of the local government, will be part of the Quarterly OSA Report.

- Can the community warn all of its population in an acceptable period of time, considering all likely threats?

- Can the local government collect, analyze, and disseminate radiological data in the timely manner necessary to meet community emergency needs?

- Has a current inventory of emergency resources been prepared? Does it include up-to-date names of responsible personnel, addresses (including warehouses) and daytime and after-hours telephone numbers?

About emergency operations personnel, procedures, and training

- Have emergency responsibilities been assigned and emergency staff positions filled?

- Are these responsibilities and staff assignments accepted and understood by the people involved?

- Do these people understand the procedures they would follow in the event of an emergency?

- Do these people know the types of decisions they would have to make during an emergency, and are they aware of the information they would need to make these decisions?

- Have the necessary provisions been made in the emergency operating facilities for the collection and display of disaster information; and has the community developed appropriate message and report forms and necessary information processing procedures?

- Do all emergency operations personnel receive sufficient practice in performing their jobs to maintain their skills and to retain familiarity with emergency operating procedures?

The broad questions listed above are not complete. However, if answers to these questions are obtained, the OSA team will have uncovered answers to questions it did not ask, and even some questions for which it has no answers. It is this on-site interview process -- with its virtually unlimited latitude for exploring a situation -- that makes the community readiness survey such a revealing analytical method.

In-depth answers to the above questions are not acquired easily. They cannot be obtained from any one person nor from a back-at-the-office review of written plans. Many questions may have to be asked if these broad but complex questions are to be answered satisfactorily. Appendix B contains a list of more detailed questions pertaining to specific services and organizational responsibilities. It is strongly recommended that these detailed questions not be read verbatim to the person being interviewed. Instead, they should be used as a guide for the interviewer. After the experience of one or two OSA projects, OSA team members may feel little need to rely upon these detailed lists

of questions. It should also be noted that these questions are grouped on the basis of who should respond to them.

Survey Through Use of EOS

Participation by local officials in an EOS as a basis for determining local needs may be another method for an OSA community readiness survey. Participants are given a questionnaire to complete following the EOS. Each question concerns the capability of the local department or service involved to conduct emergency operations in an emergency situation such as simulated in the EOS. The local officials are requested to specify needs and make recommendations for each activity where they indicate little or no capability exists. In effect, the local participants develop their own summary and recommendations of the survey and the basis for the action plan. In this situation, it may be necessary to interview others who were not participants in the EOS to provide results as complete as generated by the standard survey method described in this chapter.

This method has been used to a limited degree, and its success depends upon the quality and thoroughness of the EOS effort, extent of participation of key local officials of relevant department and service agencies, and interest by local participants in completing the questionnaires.

CHAPTER SIX

RESULTS OF THE SURVEY

Interview Summaries

OSA interview teams should summarize the results of each interview as soon as possible following the interview. This can be accomplished by writing summaries or recording on tape. These summaries do not necessarily need to include every detail of the interview; but they should, as a minimum, include (1) who was interviewed, (2) what was discussed, (3) what recommendations the interviewee made (if any), and (4) based on the interview, the recommendations of the OSA team interviewers. Without these timely summaries, it can be very difficult to recall later what occurred during a particular interview.

Documenting Survey Results

Proper documenting and publishing of OSA survey results (Summary and Recommendations), as well as the Action Plan (see Chapter 7) are critical parts of the OSA process. Experience shows such documentation to vary from a few unpretentious pages to lengthy, elaborate (and sometimes expensive) publications with distinctive fancy covers or binders. In the experience to date, most OSA documentation falls somewhere in the middle.

The documentation should be tailored to be most effective for the specific community. It should faithfully present the findings, and should be kept as brief and to the point as possible. Background data about the community (already known by the officials) should be kept to the minimum needed to relate to the findings. The documentation should not be extravagant, but at the same time it should convey the importance it deserves; thus, a distinctive cover page is appropriate.

In many cases, a draft Action Plan is included with (or is part of) the Summary and Recommendations. This provides, when presented to the local officials, a basis for review of the OSA survey findings and indicates the local decisions needed. Both the Summary and Recommendations and the Action Plan can be part of a single document when published in final form.

The Survey Summary and Recommendations (Step 5)

After the local community interviews have been completed, written narrations (survey summaries) should be prepared for each operational readiness area. If possible, the persons preparing the Summary and Recommendations should be the same persons responsible for preparing the interview summaries. This should be done as soon as possible

following completion of the interviews. The time span following the survey and/or participation in other OSA projects contributes to forgetfulness. Delay also may mean the loss of momentum in the project, and busy local officials may also forget or lose interest before the actual work of improving local readiness can begin. Another benefit to be derived from adequate survey summaries is an opportunity to review the progress made by each community over a period of time.

Summary

The content and format of the survey summary may vary. One- or two-word responses (such as adequate or inadequate) should not be used to describe the status of each readiness area, since not all interviewers employ the same criteria for differentiating adequate from inadequate. The summary categories of items should be in accordance with the six Standards for Local Civil Preparedness. Appendix D contains a completed sample survey Summary and Recommendations. Based on experience, other improved formats may be devised.

Once the survey summary has been prepared, the adequacy of each operational readiness function should be determined. In making these determinations, it should be kept in mind that what is adequate for one community may be inadequate for another. The adequacy of any given readiness function has little or nothing to do with how one community compares to another, since the potential hazards to each community may differ substantially.

First of all, there are two basic requirements involved in operational readiness. One requirement involves the actual resources necessary for performing a particular emergency activity. The other requirement involves the community's provisions for making use of the available resources (i.e., the plans for their use and associated capabilities) that currently exist within the community. If it is determined that the resources and/or plans are inadequate for accomplishing the emergency readiness activity relative to the threat assumptions for the community, then this type of assistance is in order. However, what form the assistance should take will have to be determined by appropriate State and Federal officials in conjunction with the local officials. On the other hand, it may be unnecessary, impractical, or impossible to improve the resources situation. For example, if provisions have already been made for making the best possible use of existing resources, then operational readiness for the community can be considered acceptable; and thus, assistance will not be required.

The next step is to take a detailed look at the emergency readiness areas for which improvements are in order. In effect, this represents the operational readiness deficiencies and provides the basis for making recommendations.

Candid Reporting of Survey Findings

In some cases, it may be difficult to document the full or true findings of the survey, or to "tell it like it really is." This can occur when the findings for a community point out a particular weakness, or indicate possible failure of laxity on the part of the local director or other local officials. The objective of OSA is community readiness, not the placing of blame. At the same time, OSA reports should not result in hiding needs or go out of the way to protect individuals when community readiness development is at stake. Difficult situations should be resolved by the entire OSA Regional and State team after careful consideration (possibly requiring additional interviews with top local officials), and/or after consultation with the State and Regional Directors. The team may have to "bite the bullet" and make a straightforward presentation so that the community will have the best information on which to base a course of action to improve its readiness.

Recommendations

When the results of the survey have been summarized, recommendations based upon the findings can be formulated. Specific recommendations should be made in each of the readiness areas found to be deficient. Each recommendation should be feasible and relevant to the community. If a new EOC is needed but local funds are unobtainable, the new EOC should still be recommended. However, interim modifications to increase the readiness of existing facilities should also be recommended. Both long-range and short-range recommendations should be made and a priority for implementation should be suggested for each recommendation.

The final document, Summary and Recommendations should be prepared. (See Appendix D for examples.) It is important that preparation and presentation of the Summary and Recommendations be accomplished promptly while the issues are still fresh in the minds of busy local officials, as well as of the OSA team members. The contents of the Summary and Recommendations document should not come as a surprise to the civil preparedness director or other community officials, since they reflect the results of the interviews with these officials.

The Summary and Recommendations should then be submitted to the members of the governing body. If the Summary and Recommendations report is submitted to the executives for study a week or two before a scheduled meeting, the oral presentation may be followed by a question-and-answer period; and acceptance of the report and concurrence on the recommendations may be voted on at that time. Whatever the process, concurrence must be obtained before implementing any of the recommendations involving substantial effort. Without official sanction improvements to the existing local civil preparedness program are likely to have little lasting impact.

Summary of OSA Activities Presented Thus Far

The points presented up to now have dealt with the activities required in order to determine the existing community readiness through the survey phase of the OSA project. To place these activities in their proper context, a review of the chronology of events is presented below:

- Become familiar with available background data on the community. This includes all appropriate written materials (such as emergency operations plans, CSP, program paper) and the community's disaster experience. A preliminary hazard analysis also should be prepared.

- Conduct a preliminary visit to the community. The chief executive(s) and the local civil preparedness director should be visited and their support solicited. A determination of whom to interview should be made and a project schedule agreed upon. A work plan should then be drawn up.

- Data collection. This consists of the on-site interviews, supplemented by direct observations of the tangible features of the community's operational readiness. Summarize results of each interview as soon as possible.

- Prepare the survey summary. Preparation of this and the subsequent recommendations should occur within a few days, or at most two or three weeks, following the survey activity so that project momentum is not lost. The summary should consist of comprehensive descriptions of the present status of each emergency readiness area.

- Recommendations. Based upon the survey summary, prepare recommendations for improving operational readiness in the community. To the extent possible, this set of recommendations should include suggestions regarding the priority that should be given to each improvement. Usually both the survey summary and the recommendations are prepared as a single document.

CHAPTER SEVEN

THE ACTION PLAN

Purpose of the Action Plan (Step 6)

The purpose of the action plan is to lay out a program consisting of a logical and feasible series of activities that will contribute to making civil preparedness more effective within a community. If the medical analogy used earlier in describing On-Site Assistance were applied to the action plan, it could be said that the recommendations, together with the action plan, represent the doctor's prescribed medication and course of treatment. However, this "prescription" differs from a medical prescription in that the "patient", in this case the community, actively participates in determining the course of treatment. The action plan should (1) define and organize the specific tasks required to make the improvements recommended and concurred in by the local officials, (2) contain the names of people or agencies responsible for performing these tasks, and (3) define realistic start and completion dates for each task.

Local Factors To Consider

The local officials may not concur totally on the recommendations presented. Any differences should be resolved before the action plan is formalized. Some changes in the operational readiness posture may be desired by local officials, whether or not these changes have been identified in the survey summary and reflected in the recommendations. Other improvements may be desirable simply because they are highly visible and would contribute to the positive image of civil preparedness. The need for these improvements, while less critical to the operational readiness of the local community, should be justified. All proposals for change should be seriously considered.

In some communities it may be necessary or desirable to prepare a detailed and well-formatted action plan. In other cases, less detailed action plans may be sufficient. For example, where many complex improvements are to be undertaken, a great deal of detail may be necessary to ensure successful implementation. In the case of relatively minor needed improvements, it may be sufficient merely to specify them, indicate responsibilities, and establish a schedule for completion. However, specific tasks, as well as responsibilities and schedules for each task, must be part of each action plan.

Determining Operational Readiness Improvement Priorities

Some priority of implementation should have been stated or implied in the original set of recommendations submitted to the local officials. These priority assignments should now be reviewed in light of the

specific activities that will have to be performed to implement the accepted recommendations.

There are several variables that will influence establishment of a final set of priorities. For example, consideration should be given to how critical each improvement is to the community's total operational readiness. The availability of personnel and the cooperativeness of the organizations that have been identified as having the necessary capability to provide the particular assistance being anticipated must also be considered. It is also necessary to determine whether the accomplishment of one type of assistance is dependent upon the prior accomplishment of another type of assistance. And finally, the time, effort, and expense involved in providing the assistance may influence priority assignments.

It may be possible to conclude that some improvements can be made with a minimum expenditure of time, effort, and money. Other improvements may have to be postponed until a much later time, or done piecemeal over a long period of time. And others may have to be sidetracked completely for the foreseeable future. In any, case, determinations should be made regarding which improvements can realistically be undertaken, what priority is to be assigned to each activity, and, where applicable, the logical sequence of activities.

Who Prepares the Action Plan?

It is essential that persons involved in preparing the action plan be those involved throughout the entire OSA project. Local officials, especially the local civil preparedness director, should be encouraged to play a major role in development of the action plan. At the same time, other State and DCPA Regional staff should provide as much assistance, in the form of advice and guidance, as needed. Also, local officials should be prepared to accept responsibility for providing as much of the assistance as they can.

Preparing the Action Plan

The subject areas covered up to this point set forth several factors that should be considered prior to actual preparation of the action plan. As stated earlier, it is recommended that the action plan be developed jointly by local government officials and the OSA team, with appropriate help from other State and Federal civil preparedness personnel.

It is important that the action plan be developed and adopted as soon as possible after the summary and recommendations are approved. Long delays cause the OSA project to lose momentum (busy local officials tend to forget the survey), resulting in less effective effort for developing local readiness.

The format of the action plan by category of items should be, insofar as practicable, in accordance with DCPA Standards (CPG 1-4). Several procedures are involved in preparing the plan. Although the plan may take one of several forms, its purpose remains the same -- namely to provide a program for performing the actual followup assistance. Appendix E of this guide contains samples of action plan formats. The plan should reflect, in detail, how the recommendations concurred in by the local officials are to be accomplished.

Suggested procedures in preparing the action plan include:

1. Determine which recommendations should receive attention first, considering the priority assigned to each recommendation and all other factors affecting implementation.

2. Identify the specific tasks that must be performed to implement effectively each recommendation. List these activities in logical sequence under the general recommendation. Similar activities should not be lumped together; e.g., Shelter Manager Training and RADEF Training are two separate items.

3. Assign responsibilities for completing each task. The description of these responsibilities should include:

   - The type of support to be provided by each level of government.

   - The name of each department, agency, or service involved in providing the assistance.

   - The identification of specific personnel (by title or name) assigned to each task.

4. Establish a realistic schedule of activities including specific start dates and estimated (or targeted) completion dates. For example, although training is a continuing need to maintain full staffing, a target date can be specified to meet the initial trained staff requirement.

5. In preparing the Action Plan, follow a simple, logical, useful format. (See examples in Appendix E.) Be sure that the DCPA Standards are used to categorize items. This can help in developing a comprehensive and understandable plan, and also facilitates monitoring and administrative reporting.

6. Obtain concurrence and appropriate commitment from State and Federal officials involved.

7. Present the action plan to chief executive(s) for final concurrence and commitment of local effort.

These seven procedures are intended only as guidelines for preparing an action plan. Whatever procedures are followed and format used, the action plan is a vital document. The responsibilities and commitments for taking action must be formalized, otherwise improvements in operational readiness are apt to lose out to other problems confronting local government and later may be forgotten.

Planning Schedule and Activity Checklist

Thus far, numerous activities and their importance to the success of the operational readiness assistance program have been discussed and stressed. The need for performing these activities in an organized, sequential manner is obvious.

Appendix C provides an example method of organizing all activities from initial request for OSA through publication of the action plan. The logical sequence will help keep the project on schedule. For the manager of the project, it will provide a means of monitoring progress and ensuring consistency of approach among his staff. Also, the importance of the DCPA Standards as a frame of reference cannot be overemphasized.

The Role of Federal Agencies

In connection with action plan development and implementation, the important role of Federal agencies in assisting communities in developing emergency operational capabilities is emphasized. Such agencies include FDAA, HEW, NWS, DOT, and LEAA. (See Appendix F for detailed listing of assistance by type and agency.)

Moreover, past experience in OSA projects reveals there may be much assistance available for developing local emergency operational capability at the local level, as well as from State and Federal agencies. Hence, it is desirable to compile a resource inventory at the locality to assist in determining where help can be obtained in preparation for emergency operations. Local private sector resources, including public utility resources, which can be used in emergency operations, should be inventoried.

CHAPTER EIGHT

FOLLOWUP

Preparation for Followup Assistance (Steps 7 and 8)

The type and extent of followup assistance will vary among communities; and the success of the assistance will be dependent upon appropriateness, quality, and timeliness. However, the most helpful ingredients are enthusiasm, flexibility, patience, perserverance, and a willingness to get involved.

While many action plan items call for followup assistance by the State or DCPA, most of the actions require local initiative. Because of varying local commitments and conditions, extensive followup effort by the State and/or DCPA staff may be required to ensure scheduled actions are undertaken and completed. Thus, such effort must be considered during action plan preparation and adoption, and also prior to scheduling additional OSA projects.

There are two types of followup assistance: immediate, and continual or long-term. Immediate followup involves activities to accomplish tasks that can make an immediate contribution to operational readiness. The goal of this type of followup is to complete appropriate elements of specific, tangible assistance in the community as soon as possible. Such assistance can include provision of equipment, matching funds or, more likely, technical assistance. Where possible, such assistance should be provided during the OSA survey activity (during Steps 1 through 6); but in any case, it should be provided positively, and as soon as possible.

Continual, or long-term, followup requires a longer time to accomplish (e.g., several months or more). These activities may include such things as EOC planning, design, and construction; or communication and warning equipment installation. Some continual followup activities may never be completed; e.g., exercises should be conducted periodically to maintain proficiency. These activities also include return visits to the local community to see that the local effort is on schedule and to verify that the assistance is, in fact, effective.

Revision of Action Plans

When followup assistance has begun in accordance with the action plan, periodic meetings should be held to determine progress, and whether the action plan should be revised in the event unforeseen problems occur.

At the first opportunity, the local program paper should reflect the action plan and subsequently the scheduling of events.

On-Site Assistance (the survey and action plan) provides only the base for a dynamic and continuing activity; and no community should be put in a position of being "stuck" with an action plan when conditions warrant changes. On the other hand, changes to action plans should not be made to improve the performance image of action plan followup activities for reporting purposes, as this defeats the goal of On-Site Assistance for developing or improving readiness.

Additional items may be added to an adopted OSA action plan. For example, radiological monitoring (RM) training was not an item in a community's action plan. The community later requested a RM course as all of the trained RM personnel had moved away or quit. In this case, it is desirable to amend the existing plan by adding a new item, such as "Conduct a RM course".

An action plan item may be changed to show accomplishment. For example, an OSA action plan item was worded "Conduct RM and shelter manager (SM) training." The RM training has been carried out, but the SM training is indefinite. In another action plan, four types of training were lumped together. The basic error was that these items were too general. The "Recommendations" should include reference to the specific courses needed, the sequence of conduct, and the general time frame. Action plans should carry separate identification of each specific course and a deadline date for completing it; and where necessary, should be amended accordingly.

Action plan items can be cancelled. For action plan items where no activity is possible, the action plan may be amended by deletion of such items.

In another example, a city scheduled an action plan item reading, "Construct a protected EOC in a new city hall." Subsequently, due to unavailability of funds, the city hall was built without provision for an EOC. Thus, it is now unlikely that an EOC can be developed in the foreseeable future. In this case, the desired results were not accomplished in spite of all possible effort. Therefore, this action plan item should not be deleted, but reported as not attained, with a notation as to why, and that no further effort is warranted at this time.

OSA personnel should ensure that all improvements are incorporated within the currently approved programs and emergency plans of the community so that each new feature is compatible with the overall system.

Types of Assistance Likely To Be Needed

Detailed hazard analysis. -- Earlier in this guide, the preparation of a preliminary hazard analysis was discussed. In some cases, there will be a need to prepare, or arrange for the preparation of, a more detailed hazard analysis. The preliminary hazard analysis deals with

disasters actually experienced by the community, and others which pose fairly obvious potential threats. The detailed hazard analysis also deals with less obvious threats, such as the type and frequency of hazardous materials transported through the community and the methods of transportation used.

In some instances it may be necessary to request specialized assistance to help accomplish the planning tasks. For example, the Department of Transportation can provide information about special problems concerning the transportation of hazardous materials through a given community. The Army Corps of Engineers can assist in determining possible threats to a community from river flooding or collapse of dams. The National Oceanic and Atmospheric Administration may be able to make maps available that indicate the geographical areas "susceptible" to particular types of hazards such as hurricanes and tornadoes. The National Weather Service is ready to help in hazard analysis and in developing plans and systems. DCPA may be able to provide more detailed information concerning the potential hazards a specific community may face from a nuclear attack.

Emergency Planning. -- The OSA Team may be asked to assist communities in initiating a planning process or in developing specific emergency plan sections or elements. In providing planning assistance, it should be kept in mind that while a written plan is desirable, it is the importance of a meaningful planning process that should be emphasized. Further, planning activities within the community should involve representatives from all private and governmental services who have emergency operations responsibilities.

The planning process takes its roots in a series of conferences, seminars, (exercises in some cases) or other appropriate meetings. Critical to the planning process is the realization that more than one or two persons must be involved in plan development, that the plan may require several weeks to complete, and that the emergency plan must be based upon correct assumptions and actual capabilities.

Financial Assistance. -- OSA Team members should be familiar with the DCPA financial assistance programs. They may have to rely also upon specialized personnel to obtain specific details on DCPA financial assistance or that which may be available from other agencies.

The Catalog of Federal Domestic Assistance may be a source of useful information. Also, see Appendix F for information on Federal agency assistance. Although it does not provide ready-made answers, it does provide clues regarding agencies that might be helpful in acquiring certain types of financial or "in kind" assistance. The catalog is published by the Office of Management and Budget, Executive Office of the President.

Before arrangements are made for financial assistance from any source, a definite need for the assistance should be established. For example, if communication equipment is to be requested, a specific need for the equipment should be established and its purpose should be to support some function specified in the local community's emergency operations plan.

Hardware Assessment, Procurement, and Modification. -- Assistance in this operational readiness area may require a person with knowledge in the areas of EOC engineering, communications systems, RADEF systems, shelter systems, warning systems, and in the equipment requirements of other operating services. OSA teams will help the community obtain the assistance of experts from DCPA Region or State civil preparedness organizations. It is important that the OSA team be knowledgeable in the acquisition of excess (grant and loan) and surplus property. Where possible, the OSA team should attempt to help the local officials determine how to utilize more effectively existing equipment and materials. The OSA team may also be able to provide guidance and some direct assistance in the conduct of an Emergency Communications Planning Report (ECPR), and in the preparation of a resources inventory.

Training. -- A significant feature of the OSA survey is the identification of training and exercising requirements. Chapter Nine covers tests and exercises which may be considered as training for the community emergency organization. Equally important is individual training, beginning with the local director, and including skills training for staffing to carry out emergency functions in accordance with the DCPA Standards for Local Civil Preparedness. As followup to meet these training requirements, DCPA offers a full range of civil preparedness training including: Special orientation for local directors; home-study courses such as "Civil Defense-U.S.A." (general orientation in programed instruction format), and others for the local director and radiological monitoring; and resident courses in all types of civil preparedness courses at the DCPA Staff College. In addition, OSA teams can indicate sources of other relevant training, such as Explosive Ordnance Reconnaissance (EOR) by the military; and from other Federal agencies, courses such as ambulance personnel training by the Federal Highway Administration, Department of Transportation. Also, the State members of the OSA teams should be in a position to indicate the resources of State government available for disaster training.

EOC Software Development. -- This area of assistance has a great bearing on both operational readiness and exercising. Without these operational readiness elements, there will be no real capability to carry out actual emergency operations, or even to conduct a system exercise. This assistance includes developing EOC operations, support elements such as shelter RADEF, communications, and all the displays, message forms, and procedures necessary to allow the total system to function effectively.

To provide this type of assistance, it is necessary to understand the community's concept of operations, the role of the EOC, and the other factors discussed under the planning process earlier in this chapter.

At this point, many communities will want additional assistance in designating the sources of the information, designing message forms, writing message procedures, and designing information displays. Assistance can and should be provided; however, community officials or their representatives should take the lead and assume responsibility for getting the job done. On the other hand, little or nothing may get accomplished without considerable urging on the part of the OSA team and the offering of some well-thought-out ideas tailored to the local situation.

Involvement of the local officials is mandatory. They must determine, with the help of the OSA team, what they need. For example, if the chief of police is going to operate from the EOC during an emergency, then he is the logical person to determine how he will operate, what information he will need, how it should be displayed, and what procedures his personnel should follow.

Most communities have made at least a start in this area. Existing operational information requirements, message forms, displays, and procedures may require only minor modifications. The purpose of this assistance effort is not to tear down whatever exists, but if necessary to improve upon what exists and develop what does not exist. If the displays, message forms, and procedures cannot be made more effective, there is no need to change them. However, some procedures, displays, etc., are considered effective because no one has taken the time to come up with better ideas. The right message form, the right display, the right procedure, is the one that works best in that community. The same form, display, and procedures may not be the best in another community.

Once the emergency procedures, message forms, displays, etc., have been developed, thought should be given to the need for positional training. This does not mean that firemen are to be trained in fighting fires and policemen in controlling traffic. Rather, it involves training emergency personnel in the use of materials and procedures necessary for making a coordinated response to emergencies. This training can be given separately to each specific emergency operations service, rather than attempting to train everyone at once. It is preferable that this training be provided in the operational setting (e.g., the EOC) that the community officials intend to use in the event of an actual emergency. This training should cover such things as the use of message forms and displays and existing emergency operating procedures (especially if these have been newly developed).

Some communities may require assistance (mostly in the form of guidance) in the preparation of a resources inventory. This involves guidance related to the type of resources to be inventoried and suggestions on formats to follow in organizing the listings. In some cases, there may be only a need to compile current records into a compact set of listings.

Public Relations. -- It is not unusual to hear, "What we need is a good public relations program for civil defense." There are several definitions of public relations -- most quite similar. As used herein, the term "public relations" refers to those efforts and activities directed toward developing and maintaining sound and productive relationships on behalf of civil preparedness with governmental officials and the general public. Public relations activities should be an ongoing process. This means performing day-to-day civil preparedness functions in such manner as to provide credence to the program.

Specialized services may be appropriate. These involve activities such as:

- Preparing news releases and reports for use by the news media.
- Arranging for news coverage of various civil preparedness events, including training exercises.
- Preparing brochures and other informational materials which tell about your program, provide official guidance, and personal-preparedness tips.
- Fulfilling speaking engagements.

Many of the public relations functions can best be organized and implemented by a professional. In some cases, this assistance may be made available by the State or DCPA Region. But public relations also involves taking advantage of opportunities as they occur in the community. For example, speaking before various groups, appearing on radio and television interviews, and discussing civil preparedness programs with friends and acquaintances.

Most of the activities discussed thus far are basically directed toward the general public. How can the support of government officials be gained: This can be done to some extent by performing the activities discussed above, since government officials are also members of the general public. However, there are other more specific methods as well. For example, each OSA team can perform part of the public relations function simply through OSA activities. This assistance is one means of demonstrating to local government officials that the State and Federal governments are serious about and interested in civil preparedness, and that local officials should share this concern.

Some local civil preparedness directors are reluctant to take advantage of public relations opportunities. For example, during an OSA project, an appointment had been made to interview a representative of an EBS radio station. The local civil preparedness director was asked to accompany a member of the OSA team during the interview. The director said he would rather not go. As it turned out, the OSA team member also taped a 15-minute radio show following the interview. While both OSA and civil preparedness received attention, the local director missed an opportunity to receive beneficial publicity about his efforts in civil preparedness.

Use of Experts. -- No one person can be expected to provide expert assistance in all of the readiness areas. Each OSA team member should recognize his limitations and seek help in providing assistance in areas in which he is unqualified. While each OSA team member should have a general understanding of the components in each readiness area, an "I don't know, but I'll find out" answer to a detailed question to which the team member doesn't know the full answer, will improve, rather than shatter, the OSA team image in the eyes of local officials.

State and Regional civil preparedness organizations should be able to provide experts in most areas. Other State and Federal agencies should be encouraged to provide assistance, for they have as much to gain in developing local operational readiness as does DCPA. Examples: Federal Disaster Assistance Administration (FDAA), Office of Preparedness (OP), General Services Administration; Department of Health, Education and Welfare; National Weather Service; Department of Transportation; Law Enforcement Assistance Administration; Environmental Protection Agency; Atomic Energy Commission. (See Appendix G for details.)

The people having the most to gain in the development of adequate local emergency operational readiness are the residents themselves. Many are experts in certain areas such as planning, communications, and public relations. They should be called upon to provide expert assistance to their community in following up and carrying out the provisions of the OSA action plan.

LOCAL GOVERNMENT
TRAINING AND EXERCISING
PROGRESSION CHART

PURPOSE OF TRAINING OR EXERCISING	LOCAL PREREQUISITES (CUMULATIVE)	APPLICABLE METHODS
LEVEL I TO DEMONSTRATE - • The Importance Of A Strong Civil Defense Program • Emergency Operating Concepts • Likely Disaster Effects • The Need For Coordination • General Planning Requirements	• A Willingness To Be Shown On The Part Of Local Government • A Limited Commitment Of Time And Effort	• Films • Conferences • Seminars • EOST
LEVEL II TO ASSIST IN DEVELOPING - • A Local Concept Of Operations • An Emergency Organization • Responsibility Assignments • Contingency Plans • An EOC Configuration • EOC Displays • EOC Procedures	• The Support Of Local Government • The Active Participation Of Local Officials • Moderate Support And Participation From The Private Sector	• Seminars • Workshops • P&O Course • EOST
LEVEL III TO TRAIN ELEMENTS OF THE LOCAL EMERGENCY ORGANIZATION - • In Weapon Effects Reporting • In Situation Reporting • In Function-Specific Procedures • In Message Processing • In Display Posting • In Communication Procedures	• An EOC Or Designated EO Facilities • A Concept Of Emergency Operations • An Emergency Operations Plan • An Emergency Organization • Assigned Personnel • Emergency Procedures And Forms • Position Descriptions • Disaster Displays • Communication Equipment	• Classroom Instruction • Seminars • Workshops • On-The-Job Training • Sub-System Exercises
LEVEL IV TO EXERCISE LOCAL GOVERNMENT EMERGENCY OPERATIONS - • In Coordinating Responses • In Assigning Resources • In A Fallout Situation • In Procedural Application • In Decision Making • In Identifying Needed Modifications • In Identifying Training Needs	• A Substantial Commitment Of Time And Effort • Trained Personnel	• Locally Tailored EOC System Exercise
LEVEL V TO EXERCISE LATERAL AND MULTI-LEVEL OPERATIONS AND COORDINATION - • In Making Joint, Coordinated Responses • In Mutual Aid Situations • In Military Support Situations • In Meeting The Information Requirements Of Other Echelons	• Repeated "Successful" Participation In Local EOC System Exercises • Other Participants Equally Prepared To Conduct Lateral or Multi-Level Operations	• Two-Community System Exercise • Local-NEXTUP System Exercise • Local-State-Region System Exercise • Nationwide "Live Participation" CDEX

Figure 2. -- Training and Exercising Progression Chart

CHAPTER NINE

TESTS AND EXERCISES

Introduction

Few communities have developed their emergency operational capabilities to the point where they can participate in a total-system exercise. This involves testing people, procedures, and equipment as much as possible within a simulated disaster environment. It should involve more than just a disorganized shuffling of paper by stand-in participants, allocating nonexistent resources; and with decisions based upon information that in fact would not be obtainable during a disaster.

Operational readiness cannot be developed by merely participating in an exercise. A real, not a simulated, operational capability must exist before a system exercise is meaningful. However, there are other types of exercises and training methods to meet the needs of all communities. Matching the training and exercising methods to meet these needs is the subject of this chapter.

Determining the Proper Exercise for the Community

There are two basic variables to consider in determining the proper exercise program for a community -- needs and capabilities. The community must also be willing to undertake such a program. Needs generally can be associated with the exercise objectives, and it is within this context that the community's needs will be discussed.

The Emergency Operation Simulation (EOS) has long been the only civil preparedness exercise activity available to local governments. As such, it has been used to fulfill a variety of exercise needs. However, there is no single exercise that can be designed to serve all purposes and meet the varying needs of all communities.

Basically, an EOS can benefit a community by:

(a) Familiarization of responsible officials and supporting personnel with problems of direction and control under emergency conditions.

(b) Demonstration of a concept of EOC operations that is adaptable to unique local requirements.

(c) Demonstration of the need for integrating local emergency operations plans and Community Shelter Plans (CSP).

(d) Development of a capability at the local level for carrying on further simulation exercises.

The chart on page 48 outlines five categories of local training and exercising needs or purposes for which training or exercising might be undertaken. The categories are identified as LEVELS I-V. These could be translated to mean "levels of readiness" -- LEVEL V indicating the highest degree of readiness. The primary intent of this chart is to outline the variety of purposes for which training and exercising can be conducted, and to suggest appropriate methods for satisfying each purpose. It should be noted that evaluation could be the primary objective of a specific exercise conducted for any purpose listed under LEVELS IV and V.

Local prerequisites -- or what the community should have already accomplished -- are listed also in this figure. These prerequisites are cumulative; i.e., to participate in a LEVEL IV-type exercise, the community should meet all the LEVEL I-IV prerequisites.

The differences between an EOS and an EOC system exercise are many. Their purposes are at opposite ends of the exercising spectrum. It might be useful to think of an EOS as a stage play, and the EOC system exercise as a real-life experience. While an EOS is more than a stage play, and the EOC system exercise is somewhat less than a real-life experience, the analogy points out the vicarious, detached, unreal aspects of an EOS and the firsthand, involved, true-to-life flavor of an EOC system exercise.

Simulation is used in both exercises. In an EOS it is used to create the necessary operational environment as well as a suitable exercising environment. In an EOC system exercise, simulation is used to duplicate what exists operationally, and to create only the effects or hazards environment. This is the primary reason an EOS, as it is presented by the majority of the universities today, cannot be used for realistic training or evaluation unless the community has accepted the operating principles, concepts, and procedures inherent in an EOS, and has also developed the capability necessary to support actual emergency operations.

Not many communities are ready today for an EOC system exercise. It is likely that more communities will be ready in the near future -- primarily those participating in OSA. Some of these communities will profit from an EOS. Others will require LEVEL II and III-type assistance and training before an EOC system exercise would be appropriate. In any case, the obvious goal is to get all communities into LEVEL V system exercising, and to be able to define the "system" as a nationwide, multileveled organization of civil preparedness agencies.

In addition to there being different exercise levels, there are various types of exercises. There are, for example, nuclear attack exercises, natural disaster exercises which include hurricanes, tornadoes, floods, earthquakes, severe snow storms, etc.; and there are manmade

peacetime disasters, including accidents involving radiation, massive fires, civil disorders, etc. The type of exercise to be selected for a particular community should reflect realistic hazards for that community.

Levels of Exercising

To determine the level of training or exercising for which the community is prepared, the OSA survey summary may be compared to the Local Government Training and Exercising Progression Chart. There should be little difficulty in determining a community's need for LEVEL I or LEVEL II exercising. For example, the mere existence of emergency operating procedures, forms and displays is not sufficient. The important thing is that the procedures be "mechanically sound." That is, there should be some reasonable assurance that provisions have been made for getting information to the necessary personnel, getting the information displayed, etc. Ultimately, the question must be answered regarding whether "this procedure" is the "best procedure" in terms of community needs. The question may be stated as an exercise objective.

Although LEVEL III and LEVEL IV exercising prerequisites are similar in many respects, there are differences. In the case of LEVEL III, individual parts of the total community emergency operating system are involved (i.e., subsystems, such as RADEF or shelter or a combination of services that together equal less than the whole system). In the case of LEVEL IV and LEVEL V, the whole community emergency operating system is involved, either independently or in conjunction with one or more other jurisdictions.

To participate in a LEVEL III exercise, the local community should have an EOC or designated emergency operating facility of some sort, a concept of emergency operations, an emergency operations plan, and an emergency organization. However, it is not necessary for personnel to be assigned to all emergency elements. But it is necessary that personnel be assigned to those elements (sub-systems) being exercised. It is also necessary that emergency procedures, forms, position descriptions, disaster displays, and communication equipment exist for those sub-systems being exercised. When LEVEL IV and LEVEL V exercises are involved, then all prerequisites must be met by all emergency services.

Although the above analysis and classification of levels of exercising may seem complex, the designations are based upon experience nationwide and can aid a community in developing an adequate exercise program to meet particular needs. Finally, all action plans should make provision for testing and exercising plans, procedures, and systems, and the staffs and operational personnel involved. Short of actual emergency operations, exercising is one of the best means to evaluate the readiness of an organization and identify requirements to correct deficiencies. Figure (page 48) illustrates this concept.

CONCLUSION

It is almost a certainty that every local community currently has a need for some sort of operational readiness improvement. Thus, the important consideration is one of identifying specifically what needs to be done and determining how best to accomplish it, as well as to provide assistance. Most likely there will be a wide range of assistance requested, and it is important to arrive at some priority scheme for providing this assistance.

The methods and techniques presented in this guide have been proven successful as a means of providing operational readiness assistance in an organized and effective manner. Although these methods and techniques may, of necessity, be modified in order to be applied to specific situations, there are certain functions or activities which nonetheless should be accomplished.

On-Site Assistance is a viable method of determining the existing conditions within local communities, and the action plan has been discussed as one means of programming appropriate actions to improve currently existing conditions.

Systematic followup is necessary to assure completion of actions specified. It is one thing to list feasible operational readiness items and schedule target dates for accomplishment, but followup to assure task accomplishment is the key to success in reaching the objective of developing or improving local readiness.

The preceding chapters described procedures for conducting full-scale On-Site Assistance projects. Because of limited availability of personnel, some DCPA Regions have introduced modified preliminary OSA procedures in some smaller communities (e.g., under 50,000 population), using the DCPA Standards Checklist (CPG 1-5) as an analytical tool. Usually a team of one Regional and one State representative (preferably State field personnel) interviews the local director; a brief report is made -- usually three to five pages; an action plan is drafted; a presentation is made to the county commissioners; and priorities are assigned in accordance with the Standards. An exercise is included as the last item. The ultimate "mini-OSA" goal is to chart action steps to improve emergency preparations in as many local jurisdictions as possible. If the county commissioners or other appropriate local authority agree to the "mini-OSA" findings, a plan similar to an OSA action plan is developed, adopted, and carried out. It usually takes about five man-days to complete a "mini-OSA" project. This should be considered as an interim procedure, <u>not</u> in lieu of a full-scale OSA project.